

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. ITFT-PBG104US

First Inventor Mark Dennis Aler

Title FLUID HEAT EXCHANGE CONTROL SYSTEM

Express Mail Label No. EK 509747261 US

PTO  
10/644307  
22212 US



## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 26]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 3]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c. ☐ Unexecuted Declaration
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement of Attorney (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Certificate of Mailing - Express Mail

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information

Examiner

of prior application No. \_\_\_\_ / \_\_\_\_

Group / Art Unit: \_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

23122

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Robert P. Seitter

Registration No. (Attorney/Agent)

24,856

Signature

Date

August 20, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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|                                                                                                                          |  |                          |                  |
|--------------------------------------------------------------------------------------------------------------------------|--|--------------------------|------------------|
| <b>FEE TRANSMITTAL</b><br><b>for FY 2003</b><br><i>Effective 01/01/2003. Patent fees are subject to annual revision.</i> |  | <b>Complete if Known</b> |                  |
|                                                                                                                          |  | Application Number       | To Be Assigned   |
|                                                                                                                          |  | Filing Date              | Herewith         |
|                                                                                                                          |  | First Named Inventor     | Mark Dennis Aler |
|                                                                                                                          |  | Examiner Name            | To Be Assigned   |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27                                           |  | Art Unit                 | To Be Assigned   |
| <b>TOTAL AMOUNT OF PAYMENT</b> (\$) 790                                                                                  |  | Attorney Docket No.      | ITFT-PBG104US    |

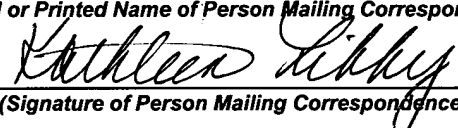
|                                                                                                                                                                                  |  |                                                                                            |  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--------------------------------------------------------------------------------------------|--|
| <b>METHOD OF PAYMENT (check all that apply)</b>                                                                                                                                  |  | <b>FEE CALCULATION (continued)</b>                                                         |  |
| <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None |  | <b>3. ADDITIONAL FEES</b>                                                                  |  |
| <input checked="" type="checkbox"/> Deposit Account:                                                                                                                             |  | <b>Large Entity</b> <b>Small Entity</b>                                                    |  |
| Deposit Account Number: 18-0350                                                                                                                                                  |  | Fee Code Fee (\$)                                                                          |  |
| Deposit Account Name: RatnerPrestia                                                                                                                                              |  | Fee Code Fee (\$)                                                                          |  |
| The Commissioner is authorized to: (check all that apply)                                                                                                                        |  | Fee Description                                                                            |  |
| <input type="checkbox"/> Charge fee(s) indicated below                                                                                                                           |  | Fee Paid                                                                                   |  |
| <input checked="" type="checkbox"/> Credit any overpayments                                                                                                                      |  | 1051 130 2051 65 Surcharge - late filing fee or oath                                       |  |
| <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application                                                                         |  | 1052 50 2052 25 Surcharge - late provisional filing fee or cover sheet.                    |  |
| <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.                                                       |  | 1053 130 1053 130 Non-English specification                                                |  |
| <b>FEE CALCULATION</b>                                                                                                                                                           |  | 1812 2,520 1812 2,520 For filing a request for ex parte reexamination                      |  |
| 1. BASIC FILING FEE                                                                                                                                                              |  | 1804 920* 1804 920* Requesting publication of SIR prior to Examiner action                 |  |
| Large Entity Small Entity                                                                                                                                                        |  | 1805 1,840* 1805 1,840* Requesting publication of SIR after Examiner action                |  |
| Fee Code Fee (\$)                                                                                                                                                                |  | 1251 110 2251 55 Extension for reply within first month                                    |  |
| 1001 750 2001 375 Utility filing fee                                                                                                                                             |  | 1252 410 2252 205 Extension for reply within second month                                  |  |
| 1002 330 2002 165 Design filing fee                                                                                                                                              |  | 1253 930 2253 465 Extension for reply within third month                                   |  |
| 1003 520 2003 260 Plant filing fee                                                                                                                                               |  | 1254 1,450 2254 725 Extension for reply within fourth month                                |  |
| 1004 750 2004 375 Reissue filing fee                                                                                                                                             |  | 1255 1,970 2255 985 Extension for reply within fifth month                                 |  |
| 1005 160 2005 80 Provisional filing fee                                                                                                                                          |  | 1401 320 2401 160 Notice of Appeal                                                         |  |
| SUBTOTAL (1) (\$ 750)                                                                                                                                                            |  | 1402 320 2402 160 Filing a brief in support of an appeal                                   |  |
| 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE                                                                                                                                      |  | 1403 280 2403 140 Request for oral hearing                                                 |  |
| Total Claims 14 -20** = 0 X 18 = 0                                                                                                                                               |  | 1451 1,510 1451 1,510 Petition to institute a public use proceeding                        |  |
| Independent Claims 2 -3** = 0 X 84 = 0                                                                                                                                           |  | 1452 110 2452 55 Petition to revive - unavoidable                                          |  |
| Multiple Dependent X = 0                                                                                                                                                         |  | 1453 1,300 2453 650 Petition to revive - unintentional                                     |  |
| Large Entity Small Entity                                                                                                                                                        |  | 1501 1,300 2501 650 Utility issue fee (or reissue)                                         |  |
| Fee Code Fee (\$)                                                                                                                                                                |  | 1502 470 2502 235 Design issue fee                                                         |  |
| 1202 18 2202 9 Claims in excess of 20                                                                                                                                            |  | 1503 630 2503 315 Plant issue fee                                                          |  |
| 1201 84 2201 42 Independent claims in excess of 3                                                                                                                                |  | 1460 130 1460 130 Petitions to the Commissioner                                            |  |
| 1203 280 2203 140 Multiple dependent claim, if not paid                                                                                                                          |  | 1807 50 1807 50 Processing fee under 37 CFR 1.17(q)                                        |  |
| 1204 84 2204 42 ** Reissue independent claims over original patent                                                                                                               |  | 1806 180 1806 180 Submission of Information Disclosure Stmt                                |  |
| 1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent                                                                                                        |  | 8021 40 8021 40 Recording each patent assignment per property (times number of properties) |  |
| SUBTOTAL (2) (\$ 0)                                                                                                                                                              |  | 1809 750 2809 375 Filing a submission after final rejection (37 CFR § 1.129(a))            |  |
| **or number previously paid, if greater; For Reissues, see above                                                                                                                 |  | 1810 750 2810 375 For each additional invention to be examined (37 CFR § 1.129(b))         |  |
|                                                                                                                                                                                  |  | 1801 750 2801 375 Request for Continued Examination (RCE)                                  |  |
|                                                                                                                                                                                  |  | 1802 900 1802 900 Request for expedited examination of a design application                |  |
|                                                                                                                                                                                  |  | Other fee (specify)                                                                        |  |
|                                                                                                                                                                                  |  | *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 40)                                     |  |

|                     |                   |                                 |                 |           |              |
|---------------------|-------------------|---------------------------------|-----------------|-----------|--------------|
| <b>SUBMITTED BY</b> |                   | <b>Complete (if applicable)</b> |                 |           |              |
| Name (Print/Type)   | Robert P. Seitter | Registration No. Attorney/Agent | 24,856          | Telephone | 610/407-0700 |
| Signature           |                   | Date                            | August 20, 2003 |           |              |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                         |                            |                                  |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|----------------------------|----------------------------------|--|
| <b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b><br>Applicant(s): Mark Dennis Aler et al.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                         |                            | Docket No.<br>ITFT-PBG104US      |  |
| Serial No.<br>To Be Assigned                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Filing Date<br>Herewith | Examiner<br>To Be Assigned | Group Art Unit<br>To Be Assigned |  |
| Invention: FLUID HEAT EXCHANGE CONTROL SYSTEM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                         |                            |                                  |  |
| <p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; margin: 10px 0;">         Utility Transmittal Form (1 page); Fee Transmittal Form (1 page) (in duplicate); Non-Provisional Patent Application (26 pages); Figures 1-4 (4 pages); Declaration/Power of Attorney (3 pages); Assignment Recordation Cover Sheet (1 page); Assignment (2 pages); Information Disclosure Statement (2 pages); 23 Patent References; Check for \$750 for patent filing; Check for \$40.00 for Assignment Recordal; Certificate of Mailing - Express Mail (1 page); Postcard       </div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to:<br/>         Patent Application,<br/>         Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450<br/>         on August 20, 2003</p> <div style="text-align: right; margin-top: 20px;"> <div style="margin-bottom: 10px;"> <u>Kathleen Libby</u><br/> <i>(Typed or Printed Name of Person Mailing Correspondence)</i> </div> <div style="margin-bottom: 10px;"> <br/> <i>(Signature of Person Mailing Correspondence)</i> </div> <div> <u>EK 509747261 US</u><br/> <i>("Express Mail" Mailing Label Number)</i> </div> </div> <p style="text-align: center; margin-top: 30px;"> <b>Note: Each paper must have its own certificate of mailing.</b> </p> |                         |                            |                                  |  |